



United States
Department of
Agriculture

National Institute
of Food
and Agriculture

The 2018 NIFA Policy Guide Update – Overview of key changes and new structure Regional conferences presentation

Maggie Ewell

Office of Grants and Financial Management



NATIONAL INSTITUTE OF FOOD AND AGRICULTURE



2018 Policy Guide Update Overview



Timing

- NIFA began process to update Policy Guide in 2017
- Solicited stakeholder feedback June - July 2018
- Final guide published October 5, 2018



Format

- Format changes
- Improved Navigability
- Upfront Glossary



Content

- Content updates
- New additions
- Enhanced capacity grants sections



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2018 NIFA Federal Assistance Policy Guide Published!

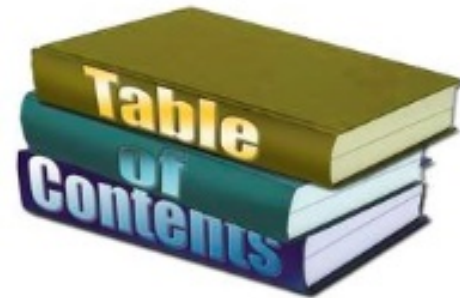
- Published October 5, 2018
- 508 compliant PDF version published October 12, 2018

<https://nifa.usda.gov/policy-guide>



New Policy Guide Order

- I. Purpose
- II. Pre-award
- III. Application Evaluation
- IV. Award Issuance
- V. Post Award Federal Requirements
- VI. Allowable Costs
- VII. Audit Requirements
- VIII. Other NIFA Assistance Programs





New Policy Guide Format - Appendices



- Appendix I – Public Policy Requirements
- Appendix II – Definitions
- Appendix III – NIFA Capacity Program Guide
- Appendix IV – NIFA Federal Assistance Programs: Authority References



Award Type Labels

Each Section is labeled with what type of award it applies to:

ALL AWARDS

COMPETITIVE

CAPACTY

Check sub
sections

Labeled at:
A, 1, a, i
levels

Improved Navigability

- Table of Contents
 - Increased detail - down 3 levels
 - Labeled for applicability
 - Click on Name and bring you to that section in document
- Glossary
 - Jumps to pages within document
 - Hyperlinks to applicable regulations





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GLOSSARY

- Page numbers are bookmarks and bring you to exact place in document
- Citations that are blue are hyperlinks to websites

Glossary of Frequently Used Terms

This glossary is intended as a navigation aid to the definitions or explanations of common terms and subjects within the Policy Guide. This is not an index. Below is a list of common terms; click on the page number to be taken to the applicable place within the Policy Guide where the definition or role is located. Where applicable, the statutory or regulatory citation is also included with a hyperlink to the statute or regulation.

Term	Page Number	Citation and hyperlink (if available)
1862 Land-Grant Institution	175	7 CFR 3430.2 , 7 U.S.C. 301 et seq.
1890 Extension Administrator and Research Director	10	
1890 Land-Grant Institution	175	7 U.S.C. 7601(2) and 7 CFR 3430.2
1994 Land-Grant Institution	175	7 CFR 3430.2 and 7 U.S.C. 301
Administrative Technical Representative (ATR)	12	
Agricultural Research	175	7 CFR 3430.2
Agricultural Research, Extension and Education Reform Act of 1998 (AREERA)	176	7 U.S.C. 7626 7613
Approved Budget	176	2 CFR 200.308
Authorized Departmental Officer (ADO).	9, 176	7 CFR 3430.2
Authorized Representative	9	7 CFR 3430.2
ASAP	49, 50, 176	
Award	177	7 CFR 3430.2
Budget	25, 80, 176	



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Content Updates and Additions



Overview

Uniform
Guidance
citations and
changes

New statutory
and regulatory
changes

Capacity and
Research
terms and
conditions

Updated NIFA
processes

Consistent
Definitions

Discussion of
Allowable
costs

Roles and Responsibilities



Purpose Updates

Institute and
NIFA Office
Descriptions

NIFA Roles and
responsibilities

Recipient Roles
and
Responsibilities

Pre-Award

RFA format and
updated types of
applications

Added ezFedGrants.gov
info

Felony & Tax
Certification

Updated Matching
section

Application
documents and key
contacts

Updated Applicant
eligibility and
citizenship

Application Evaluation

Capacity
award section

Enhanced Pre-
award review
and risk
assessment

Added FAPIIS



Purpose Update - Roles and Responsibilities

Authorized
Representative

1890 Extension
Administrator

1890 Research
Director

Custodian of
Funds

Cooperative
Extension
Director

AES Director

Administrative
Technical
Representative

EFNEP
Coordinator

Insular Area
Extension
Administrator

Insular Area
Experiment
Station Director

Project Director

Authorized
Departmental
Officer (NIFA)



Award Issuance

Using Notice of
Award
Terminology

Updated NOA
based on req's

Updated capacity
award
notification per
ezFedGrants

Updated
payments
ASAP

Award Issuance

Updated Terms
and Conditions

Project
Period/POP/
budget period

Use of NIFA
identifier
requirements and
language

Award Issuance

Significantly
enhanced
Capacity Grant
Matrix

Formula
Use of Funds
Limitations
Reporting
requirements
Matching requirements
Carryover

CAPACITY PROGRAMS MATRIX: FORMULA, USE OF FUNDS; LIMITATIONS; REPORTING REQUIREMENTS; MATCH; CARRY-OVER

Cooperative Extension at 1862 Institutions [Smith-Lever 3(b) & (c)]

AREERA program

<p>Formula</p>	<p>Smith-Lever 3(b) & (c) funds are allocated to eligible institutions based on a legislatively determined formula. Each state receives a base amount at the 1962 funding level. The University of Guam and University of the Virgin Islands will each receive \$100,000 in addition to the sums appropriated to the several States.⁹ The remainder is distributed as follows:</p> <ul style="list-style-type: none"> • 20 percent will be paid to the States in equal proportion • 40 percent will be paid to the several states in the proportion that the rural population of each bears to the total rural population of the several states as determined by the census; and, • The balance will be paid to the several states in the proportion that the farm population of each bears to the total farm population of the several states as determined by the census (7 U.S.C. 343(c)).
<p>Use of Funds</p>	<ul style="list-style-type: none"> • Smith-Lever Act sections 3(b) and 3(c) federal funding may only be used for extension programs and an activity identified in the institutions approved 5-year Plan of Work. • Starting in FY 2018, because of the phase out of CSRS and FERS Retirement contribution programs, NIFA will continue to pay the Workers' Compensation benefits of the former Schedule A employees directly to DOL and will charge the 1862 institution by reducing its annual allocation under the Smith-Lever section (b) and (c) statutory formula.
<p>Limitations</p>	<ul style="list-style-type: none"> • Funds cannot be used, directly or indirectly, for the purchase, construction, preservation, or repair of any building or buildings, the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in the Smith-Lever Act. • Funds cannot be used for indirect costs or tuition remission. • Employer contributions to land-grant college retirement systems are limited to 5 percent of that portion of the salaries paid, under this award, to employees who participate in the system (7 U.S.C. 331) and are subject to the other conditions in 7 U.S.C. 331. Note that the 5 percent limitation does NOT apply to any State or individual contribution. Contributions of funds under this award may not exceed the contributions from non-Federal sources made by or on behalf of the individual concerned. See Section VI.H.1 of this guide for additional information. • If any funds are diminished, lost, or misapplied, the State must replace the funds and no additional funds will be awarded to that State until the funds are replaced. • The period of performance may NOT be extended.
<p>Reporting Requirements</p>	<ul style="list-style-type: none"> • Eligible institutions must have an approved Plan of Work (POW) on file with NIFA. • Annual Report of Accomplishments and Results (March 1) • Annual and final SF-425 financial report

CAPACITY PROGRAMS MATRIX: FORMULA, USE OF FUNDS; LIMITATIONS; REPORTING REQUIREMENTS; MATCH; CARRY-OVER**Cooperative Extension at 1862 Institutions [Smith-Lever 3(b) & (c)]
AREERA program**

- Final accomplishment reports.

Matching Requirement

- 100% of total funds available (50% for insular areas). Waiver for up to 100% of required match for insular areas

Carryover

Sections 3(b) and (c) of the Smith-Lever Act funds are expected to be fully expended in the fiscal year of appropriation; however, any obligated balance of funds which remains at the end of any year, except the final year of the award, will be carried over to the next year, and may be used to defray costs of any year of the project. Since the carryover of unobligated balances is automatic, no separate or specific awarding agency prior approval is required to authorize use of funds. Any unused funds at the end of the period of performance must be returned to the US Treasury.



Capacity Program Items of Note

- ✓ 5% cap on retirement contributions for extension and research programs; McIntire-Stennis being examined
- ✓ Plan of Work reporting requirements added for Extension and Smith-Lever Special needs as these begin with 2019 cycle
- ✓ Carry-over of greater than 50% for McIntire-Stennis will require program prior approval (similar to RREA)
- ✓ Use of funds - added language about activities must be consistent with approved plan of work
- ✓ Foreign Travel prior approval or Smith-Lever/Sec 1444 and Hatch/Section 1445 delegated to Extension or Experiment Station Director



Post-Award

- ✓ Added missing UG sections:
 - Financial Management systems
 - Internal controls,
 - Revision of budget and program plans (competitive),
 - Property standards,
 - Procurement,
 - Subrecipient monitoring and oversight
- ✓ Significantly updated performance and financial reporting section
 - PARS provided input and review

Property Standards - Equipment

- Definitions
 - General Purpose
 - Special Purpose
- Prior approval
- Title
- Use
- Management Requirements
- Sale and Disposition
- Supplies and other expendable property





Intangible Property

Research
Results

Sharing of
Research

Patents and
Inventions

Royalties

Rights in
Data

Publications

Plant
Variety
Protection

Licenses

Access to
research

Invention
Reporting

i-Edison

Transfer of
Rights



Performance and Financial Reporting

Program Performance Reporting updated

- Project Initiation
- Annual Progress
- Final Report

SF-425 and REEport Financial Report updated

- Added overview of new, streamlined process for submitting and processing continuation awards

Summary Chart of Due dates

Plan of Work reporting

FFATA

Allowable Costs

- Added Full discussion on concepts of reasonable, necessary and allocable
- Full list of requirement prior approvals
- Added a new allowable costs matrix
- Detailed description of common questioned/disallowed costs and what requirements are associated with these costs





Allowable Costs Matrix Items

Uniforms/Safety Equipment/T- shirts/Clothes	Entertainment	Equipment	Construction/ Renovation
Social Security and other benefits	Employer Contributions to Retirement	Travel/ Foreign Travel	Meals/Food
Memberships	Promotional items	Salaries	Tuition Remission



Allowable Costs Matrix

1. Allowable/Unallowable costs matrix ALL AWARDS

A = Allowable U = Unallowable AC= Allowable with conditions

Item of Cost	Description	Competitive	Capacity	Facilities	Notes
Meals/Food*	Business meals may not be charged as project costs when individuals decide to go to breakfast, lunch, or dinner together when no need exists for continuity of a meeting. Such activity is considered to be an entertainment cost. On the other hand, meals that are part of the costs of meetings and conferences, the primary purpose of which is the dissemination of technical information, are allowable as are costs of transportation, rental of facilities, speakers' fees, and other items incidental to	AC	AC	U	See supporting documentation section below.



Support and Documentation for Specific Items of Cost

Detailed information about what NIFA looks for

Applicable citations

Broken down by competitive and capacity

Food/Meals/Conference; Limitation on Retirement Contributions; Travel; Salaries (time and effort)



Definitions

- Reviewed and updated definitions against:
 - 2 CFR 200 (Uniform Guidance)
 - 7 CFR 3430
 - 7 CFR 3419
 - Terms and Conditions
- Goal = consistency



Appendices

- Appendix I - National Public Policy requirements - ALL AWARDS
 - Not all inclusive
- Appendix III - Capacity Program Guide
- Appendix IV - NIFA Federal Assistance Program Authority References - ALL AWARDS



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Questions?

policyguide@nifa.usda.gov